

2014-16 Executive Progress Report

Commonwealth of Virginia
Secretary of Public Safety and Homeland Security
Department of Corrections

At A Glance

We will enhance the quality of life in the Commonwealth by improving public safety. We will accomplish this through reintegration of sentenced men and women in our custody and care by providing supervision and control, effective programs and re-entry services in safe environments which foster positive change and growth consistent with sound correctional principles, fiscal responsibility and constitutional standards.

Staffing 11646 Salaried Employees, 173 Contracted Employees, 12848 Authorized, and 318 Wage Employees.

Financials Budget FY 2015, \$1,131.79 million, 93.61% from the General Fund.

Trends ➔ Escapes

⬇️ Serious assaults on inmates

Legend ⬆️ Increase, ⬇️ Decrease, ➔ Steady

Key Perf Areas ➔ Bed capacity

Productivity ➔ Per capita cost

Legend ⬆️ Improving, ⬇️ Worsening, ➔ Maintaining

For more information on administrative key, and productivity measures, go to www.vaperforms.virginia.gov

Background and History

Agency Background Statement

The Department of Corrections (Department) operates correctional facilities, supervises offenders placed on probation supervision by the courts, and operates a wide array of programs designed to prepare offenders for a successful re-entry into society when their sentences have been served.

The Department strives to be a progressive and proven innovative leader in the profession. Virginia is a better place to live and work because we improve long term safety and foster societal progress through the successful transformation and reintegration of men and women entrusted to our care.

The Department seeks to provide more than the traditional correctional role of temporary public safety through incarceration and community supervision. We strive to improve long term public safety through the reintegration of offenders back into society. We provide safe and secure environments for staff and offenders, a continuum of care beginning at an offender's first contact with the Department through our work with stakeholders to meet their needs upon release.

The Department has taken on a unified approach to improving public safety through maintaining a safe and secure environment in facilities and one that is conducive to positive change. This allows us to be more effective in the implementation of our recidivism reduction plan and evidence based practices. Community Corrections and institutions work together to ensure efficient and effective resource use in areas of critical need.

The Department of Corrections' facility portfolio includes 14 Work Centers and Field Units, 29 Institutions, and 6 Department-owned community corrections facilities. These facilities include 1,664 buildings and over 11 million square feet.

Major Products and Services

The Department firmly believes that reentry starts the day an individual is sentenced by the courts. While the Department does not control who is sentenced the VADOC works to ensure the success of each offender in order to reduce costs of incarceration, reduce recidivism and support long term public safety.

Building upon the Agency's Re-entry successes the DOC has implemented the next phase of offender resettlement to further improve offender outcomes. Evidence shows us offenders with solid home plans and marketable job skills, who have explored their criminal thinking and participated in cognitive restructuring tend to recidivate less frequently.

Effective re-entry emphasizes the importance of connecting offenders with services that encourage them to desist from criminal activity and become productive members of the community. Due to the complexity and array of issues that offenders face upon release, researchers and experts emphasize the importance of providing a continuity of care throughout each stage of the re-entry process. Re-entry is achieved by utilizing evidence-based practices (EBP), such as motivational interviewing, and engaging offenders in planning for their success. The focus is placed on high risk cases. Level of case supervision is determined through the use of a risk and needs assessment instrument (COMPAS). There have also been efforts to expand the use of supervision through technology, such as an automated self-reporting system for low risk offenders.

To further prepare individuals for successful resettlement the Department works with community partners in local Re-Entry councils to address homelessness, jobs, education and programs needed for those released from incarceration and/or under community supervision.

Starting with reception every offender receives an assessment of their risks and needs and a case plan is developed that guides their participation in programming and treatment. Offenders with specialized needs including; veterans, women, medically infirm, mental health, substance abuse, and geriatrics, are identified and placed in specialized housing or programming.

Basic educational, vocational and career skills are developed through programming and practical application including work opportunities available in our correctional facilities.

There are services available for individuals who have been identified as having mental health issues, which include- assessment, monitoring, individual and group treatment, medication and crisis management. Services are provided as resources are available by qualified mental health professionals at all major facilities, with regional consultants in the community. Also, the Agency has 5 specialized treatment programs licensed by the Department of Behavioral Health and Developmental Services for seriously mentally ill and sex offenders. The Department has a licensed mental health facility for those identified with acute mental illness.

For offenders with substance abuse issues there is specialized intensive programming including a Therapeutic Community that treats drug abuse as well as the criminal behavior and thinking that accompanies these issues.

The Agency has been nationally recognized for its innovative program to safely and effectively transfer offenders from expensive, long term, high- security restrictive housing to the general prison population through step-down programming.

Customers

Customer Summary

All 8 million citizens of Virginia are recipients of public safety services provided by the Department of Corrections. Community corrections provides statewide offender supervision and transition services through the Probation and Parole District Offices and special programs. Institutional Operations provides secure custody through correctional facilities located throughout the Commonwealth.

Customer Table

Predefined Group	User Defined Group	Number Served Annually	Potential Number of Annual Customers	Projected Customer Trend
Resident	Citizens of the Commonwealth.	8,186,000	8,186,000	Stable

Finance and Performance Management

Finance

Financial Summary

The majority of the Department of Corrections' funding comes from general fund dollars (94%) and special funding (6%) created primarily from revenue generated from Virginia Correctional Enterprises' sale of products and services and out-of-state bed sales revenue. Fund Sources totals (below) may differ from Chapter 665 amounts in order to reflect operating plan modifications by the Department of Planning and Budget for items like Central Appropriation, Technicals, or other adjustments.

Fund Sources

Fund Code	Fund Name	FY 2015	FY 2016
0100	General Fund	\$1,059,417,999	\$1,066,350,640
0200	Special	\$58,805,835	\$58,805,835
0205	Probation & Parole Officers Fund	\$85,000	\$85,000
0219	Inmate Culinary Arts Training Program Fund	\$250,000	\$250,000
0232	Corrections Construction Unit Special Operating Fd	\$2,100,000	\$2,100,000
0255	Contract Prisoners Special Revenue Fund	\$5,509,879	\$4,938,793
0257	Overhead And Warranty Account Fund	\$700,000	\$700,000
0284	Recyclable Material Sales-Gen-Non-High Ed	\$40,000	\$40,000
0287	Surplus Supplies And Equip Sales-Gen-Non-High Ed	\$15,000	\$15,000
0290	Insurance Recovery	\$550,000	\$550,000
0953	Drug Offender Access Fund	\$2,480,379	\$2,480,379
1000	Federal Trust	\$1,831,318	\$1,831,318

Revenue Summary

The Bureau of Justice Assistance administers the State Criminal Alien Assistance Program, and provides federal payments to states and localities that incur correctional officer salary costs for incarcerating undocumented criminal aliens with at least one felony or two misdemeanor convictions for violations of state or local law, and incarcerated for at least 4 consecutive days during the reporting period. The award amount received in FY2014 was \$921,040.

Per Chapter 665, Item 384.G. \$921,040 nongeneral fund appropriation in FY2015 is included for inmate medical costs.

PLEASE NOTE: THESE FUND AMOUNTS VARY EACH YEAR AND ARE SUBJECT TO CHANGE BASED ON AVAILABLE FUNDING AND THE NUMBER OF ENTITIES REQUESTING REIMBURSEMENT FOR COSTS INCURRED.

Performance

Performance Highlights

The Virginia Department of Corrections has established a number of initiatives to further the mission of Public Safety in the Commonwealth. A few examples are provided below.

Intensive Re-entry sites are in place across the Commonwealth; offenders who are within 12 months of release are placed in facilities closest to their release home plan. The Intensive Re-entry Programs operate as residential units under the Cognitive Community Model.

The Department has developed a new, innovative, and creative process based on research in the correctional field to reduce the prison system's reliance on long term Administrative Segregation assignments. The Administrative Segregation Step Down Program has been effective in changing the culture of Virginia's highest security prison and providing avenues for offenders to earn their way to lower security level prisons.

In July 2013 the Department was awarded the STAR (State Transformation in Action Recognition) award from the Southern Legislative Conference for the Administrative Step Down Program at Red Onion State Prison.

Unit Management is an approach to offender management in which the total inmate population is subdivided into smaller groups, which operate semi-autonomously. Each unit has staff who work with offenders to attain treatment goals, gain social skills and learn to hold each other and themselves accountable.

The Department recognizes that learning is fundamental to adding value to an organization. To foster a learning organization staff development is critical to this transformation. Staff members are encouraged to be active in training and to participate in making a positive difference in the Department.

Selected Measures

Measure ID	Measure	Alternative Name	Estimated Trend
79939803.001.001	Average number of hours program-eligible offenders participate in program activities each week.	Program participation	Improving
79939802.001.001	Number of escapes from confinement .	Escapes	Maintaining
79939802.002.001	Number of Inmate on inmate serious assaults on a Department-wide level.	Serious Assaults	Improving
79939802.001.002	Per capita cost to incarcerate an inmate annually.	Per capita cost	Maintaining
79939900.003.001	Percentage of Department-wide institutional bed capacity that is filled with offenders.	Bed capacity	Maintaining

Key Risk Factors

Medical Services-Cost increases are anticipated due to continued inflation of medical costs as well as higher expenses anticipated from contract renewals at eight DOC locations that are privately managed. There are also anticipated increases from Medicaid/Medicare changes. The Department currently has an emergency contract for medical services in place as we pursue a RFP for a long term contract.

Evidence Based Practices (EBP)- Implementing EBP within facilities creates special training requirements for staff and offenders alike. The culture of the prison must support positive offender change through every aspect of its operations and programs. Each interaction between inmates and staff creates an opportunity for role modeling and teaching. EBP has been implemented in all Probation and Parole Districts and the Detention/Diversion Centers. Effective Practices in Correctional Setting (EPICS II) is being implemented in all P&P districts and D& D centers. EPICS II offers a concrete and structured method for correctional staff to help an offender identify a problem and present steps to develop solutions for the problem.

Limited programming resources. DOC is not always able to address all offender needs due to staffing limitations and finite resources. Efforts are made to prioritize offenders based on their recidivism risks and proximity to release but due to limited funding not all needs can be addressed.

Gang and Security Threat Group Funding- DOC recognized the need to identify and track offenders affiliated with threat groups. Other State and Local agencies received financial assistance, yet the DOC continues to absorb costs associated with playing a pivotal role in coordinating gang management initiatives statewide while taking a leadership role in initiating the control of gang threat activity.

The Department has numerous manual processes still in place at a time when quick decision making is critical. Funding for the use of technology to build applications to support this transition is essential.

The Prison Rape Elimination Act (PREA)-- PREA is a complex and comprehensive bill passed by Congress in 2003. The Act is broad and spans all areas of the Department that relate to detection, prevention, reduction and punishment of prison rape. Federal standards released in June 2012, place a significant cost burden on all institutions including physical plant changes, training, video monitoring and staffing requirements necessary to come into compliance with the standards. This is an unfunded federal mandate with which the Department must comply.

Increased Maintenance and Replacement Costs- Many facilities within the Department are old, and some are exceeding their useful lives. Assessments indicate replacement rather than repair in some cases. Funding and the need for bed space limit the Department's ability to implement replacement plans.

Facility Operational Costs- DOC's annual cost of operations rises for a wide variety of mandated line items (utilities, fuel, rent, payment-in-lieu of taxes, etc.) yet the Department receives no additional funding to relieve these growing liabilities. This creates a situation where the Department is forced to maintain position vacancies in other areas, primarily in security (which are the majority of DOC positions) which could cause a potential negative impact in order to fund these responsibilities.

Agency Statistics

Statistics Summary

As of June 2014, the Department of Corrections was responsible for the supervision and custody of 30,445 offenders in 43 institutions throughout the Commonwealth. The Department is also responsible for the supervision and transition of 57,946 community corrections offenders; this is accomplished through an array of statewide programs including 43 Probation & Parole District Offices, 4 Diversion Centers, 3 Detention Centers and 6 Contract Residential facilities.

Statistics Table

Description	Value
Recidivism rate (percent) (three year State Responsible Re-incarceration rate)	23
Number of State Responsible offenders released in FY 2013	11,661
Number of State Responsible New Court Commitments in FY 2013	11,731
Number of offenders on community supervision	58,558

Management Discussion

General Information About Ongoing Status of Agency

Since 2011 the Department has undergone a reorganization and the implementation of numerous initiatives which enhance long term public safety and foster societal progress through the successful transformation and reintegration of offenders. The Department developed a Strategic Plan which is performance based and will serve as a road map to our future. The Department's recidivism rate of 22.8% places us 2nd lowest in the nation, and our offender on offender assault rates are among the lowest in the nation as well. The Department has undertaken numerous initiatives and because of employee innovation and commitment to the Department we have been successful in each.

The Department continues to find solutions to the on-going aging Infrastructure issue associated with a majority of DOC facilities. Most require major costly repairs that are not funded but must be fixed.

The Department seeks to be a part of community collaborations; through local re-entry councils existing relationships have been strengthened resulting in additional resources and opportunities for individuals transitioning to the community. Through collaborations with other state Agencies and localities public safety is enhanced throughout the Commonwealth. Collaborations and community outreach assist in minimizing the impact of limited funding and available programs and services.

The Department has an Agribusiness program which has 10,000 acres statewide under cultivation. We have a Farmer's Market, Yarden Farm, Freeze Plant, Institutional Gardens, and Greenhouses. The Farmer's Market provides job training for offenders and provides over 40 tractor trailer loads each week to locations in VA, MD, and DC. Yarden Farm has over 160 acres of vegetable fields and 125 offender workers. The Freeze plant provides job training for 130 offenders each month.

Information Technology

In March 2006 the Department initiated the first phase of a major project (VirginiaCORIS) to replace a multitude of legacy applications with a single, integrated, and modern technology application. Today VirginiaCORIS is the primary management tool for managing offenders in Institutions, Community Corrections, the Virginia Parole Board and used by local jails for reporting population. In 2011, offender incidents, discipline, programs, visitor tracking, and re-entry modules went live through a series of implementations. In 2012 the Department of Correctional Education legacy system was retired and replaced with VirginiaCORIS. 2013 saw major system updates including implementation of the Inmate Pay and Trust module, Gang Management, and the retirement of the State Compensation Board local jail based system LIDS which was replaced with VirginiaCORIS. VirginiaCORIS is the only system in the entire country to have all of these modules contained in a single database.

Several proposed initiatives and unfunded investments outlined in the Strategic Plan required to support the agency's performance measures include, but are not limited to, LiveScan, Mug Shots, Offender KIOSKS and tablets, Web-Based GIS for Offender Data, and Data warehouse and Business Intelligence Reporting. The Financial, Human Resources, Manufacturing, and other administrative areas of the Department are also underserved in IT. There is no ERP application in place to support these areas of the Department. Staff inefficiently enters redundant data in multiple applications; many business processes are handled in a manual fashion; and management has insufficient real time access to quality data for essential decision making functions.

IT staff are currently focused on delivering VirginiaCORIS maintenance upgrades and enhancing current system functionality related to inmate pay and trust. The Department has over 400 documented system enhancements which address automation or system ease of use for offender management. Additionally, technology staff are trying to ensure that the underlying application infrastructure be current with technology so as to not allow the system to become a legacy system as technology evolves. Over 8 applications servers are in process of being refreshed and upgraded to a supportable version of the server operating system in this fiscal year. A small subset of the technology staff have been assigned to the development of ifact – the agency data warehouse initiative. Data analytics is critical for an agency that strongly adheres to evidence based practices to be data driven in decision making and to support proven business initiatives. DOC is underfunded for all technology initiatives especially staffing. The CTSU technology staff has less than 40 full time employees to support a multitude of applications, offender technology, and almost 13,000 users many of which have unique business needs to support. CTSU must employ contractors to support both operations and new technology initiatives as full time staffing resources are neither provided or can be found at marketable salaries. Public Safety initiatives such as requiring a LiveScan palm and 10 fingerprints as well as an official mug shot on every offender under our supervision, have not been funded. Often, DOC must choose between operational initiatives and technology to fund critical activities such as these.

Homeland security issues, law enforcement activities, evidence based decision making, and improved data exchange at all levels of government are creating additional pressures for sharing information between agencies. This requires work on improving and standardizing infrastructure, databases, and data exchange methods. The CTSU staff is required to develop new skill sets to operate in the new environment; this increases training demands and creates new recruitment/retention issues.

Workforce Development

There are several major workforce challenges for the Department of Corrections in the next five years. The first is the compensation for staff specifically those on the front line, security staff in our facilities and probation staff in our districts. Continued improved long term public safety requires a stable and skilled workforce; the retention of these staff who have been trained in Evidenced Based Practices (EBP) is paramount. Additionally, salaries must be raised to be able to attract applicants with the critical skill sets to learn and apply the EBP concepts with offenders.

The second workforce challenge is to be able to hire and retain highly skilled and qualified staff in the many specialty areas utilized by the Department. Whether it is in IT, trades, mental health, medical, or other specialized area, the Department must be able to compete in an "employees' market" and have adequate staffing to provide services.

A third workforce challenge is to continue our accelerated development of staff particularly middle and senior management staff to have candidates qualified and ready to replace vacancies caused by the potential retirements of the "baby boomers" in senior and executive management positions (specifically Wardens, Superintendents, and P&P Chiefs) and the Executive Team.

The Department has purposefully pursued moving to be a true learning organization. It strives to provide training and staff development programs in a manner that best meets the needs of the Department and its employees as we implement EBP and other initiatives to reduce recidivism. The emphasis on training not only improves the delivery of services but also increases employee engagement. Additional resources are needed to deliver and implement training on a Department wide basis.

Physical Plant

The Department of Corrections' facility portfolio includes 14 Work Centers and Field Units, 29 Institutions, and 6 Department-owned community corrections facilities. These facilities include 1,664 buildings and over 11 million square feet.

The Department stewards over 19,000 acres associated with these facilities, much of which is cultivated by the Department's Agribusiness program.

The Administrative Headquarters, the Agribusiness Farmer's Market and the Agribusiness Distribution Center in Jarratt are all housed in capital leased space. Other activities such as probation and parole offices are housed in operating lease space. It is becoming more difficult to acquire probation and parole office space due to the public hearing requirement and the public's "not in my backyard" reaction.

Much of the Department's active capital and maintenance reserve appropriation is committed to critical maintenance needs and to meeting regulatory requirements.

Obtaining adequate capital and maintenance reserve funding to allow the Department to continue to provide the current, exceptional level of security, staff safety, and public safety is a challenge that must be addressed. Also, the Department must obtain long range support for replacing aging facilities. There is a growing need for major renovation of a generation of facilities between 20-30 years old.

The Department's capital investment program addresses the highest priority needs within available funding. These investments align with Virginia's long-term objective to protect the public's safety and security.
